

Docket No.: 50277-1768

277 11:2 12 PM 4: 29

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: David T. Long et al.

Confirmation No.: 3702

Application No.: 10/040,499

Group Art Unit: 2192

Filed: December 28, 2001

Examiner: Michael J. Yigdall

Title: POLICIES ON A PER INSTANCE BASIS

**REQUEST FOR REFUND**

Mail Stop 16

Director of the US Patent and Trademark Office

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Sir:

On January 9, 2007, the amount of \$180.00 was charged to Deposit Account No. 50-1302 for U.S. Application No. 10/040,499, docket number 50277-1768. (See accompanying copy of Monthly Statement of Deposit Account).

Attached is a copy of the Information Disclosure Statement mailed on October 20, 2006 with a Statement pursuant 37 CFR § 1.97(e)(2) indicating that no item of information contained in the information disclosure statement was known more than three months prior to the filing of the information disclosure statement. Accordingly, the fee of \$180 was not required. Since the \$180.00 filing fee for the Information Disclosure Statement was not required, it is requested that the amount of \$180.00 now be refunded and credited to Deposit Account No. 50-1302 in the referenced patent application.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Date: 3/6/07

John D. Henkhaus  
John D. Henkhaus  
Reg. No. 42,656

2055 Gateway Place, Suite 550  
San Jose, California 95125  
Tel: (408) 414-1080  
Fax: (408) 414-1076

**CERTIFICATE OF MAILING**

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ON March 6, 2007

by Martina Placid  
Martina Placid

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

7

Application Number

10/040,499

Filing Date

December 28, 2001

First Named Inventor

David T. Long

Art Unit

2192

Examiner Name

Michael J. Ylgdall

Attorney Docket Number

50277-1768

**ENCLOSURES (check all that apply)**☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Reply to Missing Parts/  
Incomplete Application☐Reply to Missing Parts under 37  
CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a  
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

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Request for Refund

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CD, Number of CD(s) \_\_\_\_\_

☐ Landscape Table on CD☐After Allowance Communication  
to TC☐Appeal Communication to Board  
of Appeals and Interferences☐Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☒Other Enclosure(s) (please  
Identify below):  
Copy of Deposit Account  
Statement;  
Copy of IDS dated 10/20/06;  
Return receipt postcard**Remarks**The Director is hereby authorized to charge any additional fee(s) or underpayments of  
fee(s) under 37 CFR 1.16 and 1.17 to Deposit Account Number 50-1302  
Deposit Account Name: Hickman Palermo Truong & Becker LLP**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Hickman Palermo Truong &amp; Becker LLP

Signature

*John D. Henkhaus*

Printed name

John D. Henkhaus

Date

3/6/07

Reg. No.

42,656

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Signature

*Martina Placid*

Typed or printed name

Martina Placid

Date

March 6, 2007

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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Trademark Office**

Return To:

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Page**Deposit Account Statement**

**Requested Statement Month:** January 2007  
**Deposit Account Number:** 501302  
**Name:** HICKMAN, PALERMO, TRUONG & BECKER, LLP  
**Attention:** BOBBY K. TRUONG  
**Address:** 1600 WILLOW STREET  
**City:** SAN JOSE  
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**Zip:** 95125  
**Country:** UNITED STATES

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
01/04	16	10057082	52637-0031	1504	\$300.00	\$7,536.00
01/05	69	11333842	50325-1197	1801	\$790.00	\$6,746.00
01/08	2	60757780	15437-0837	8007	\$60.00	\$6,686.00
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01/10	4	0136620861	50277-2107	8014	\$25.00	\$6,301.00
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01/25	1	10365273	50269-0546	1202	\$250.00	\$2,996.00
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01/25	2047	77090967	60067-0014	7001	\$325.00	\$2,171.00
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01/30 298 10192766	60010-0016	8021	\$40.00	\$1,851.00
01/30 303 09880600	60010-0012	8021	\$40.00	\$1,811.00
01/31 33 E-REPLENISHMENT		9203	-\$9,000.00	\$10,811.00
01/31 2610 10762949	50277-2430	1401	\$500.00	\$10,311.00
01/31 2851 60887331	56055-0052	1005	\$200.00	\$10,111.00

START BALANCE	SUM OF CHARGES	SUM OF REPLENISH	END BALANCE
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2ef  
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☒ Deposit Account # 50-1302

☐ Treasury Check

Patent/TM/App/Serial # 10/040499

Program Area Tech center-2192

Date Processed 03/23/07

**ATTENTION ATTENTION ATTENTION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David J. Long, et al.

Serial No.: 10/040,499

Filed on: December 28, 2001

) Confirmation No.: 3702  
)  
) Examiner: Yigdall, Michael J.  
)  
) Group Art Unit No.: 2192  
)

For: POLICIES ON A PER INSTANCE BASIS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**COPY**

INFORMATION DISCLOSURE STATEMENT

Sir:

- ☒ The Examiner is hereby notified that for the following related application an Office Action has been received as indicated below:

**DISCLOSURE OF OFFICE ACTION**

U.S. Application/ Pat. No.	File Date	Office Action Mailing Date	Atty. Docket. No.
10/452,164	05/30/2003	08/03/2006	50277-1750

The related application may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application. Therefore, the Examiner is encouraged to review the file history of the related application as some of the information contained therein may be material to the examination of the present application.

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form, if needed. Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under the following (as indicated by an "X" to the left of the paragraph):

☒ 37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes the following:

☒ A statement pursuant to 37 C.F.R. §1.97(e)

☒ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: October 20, 2006

John D. Henkhaus  
John D. Henkhaus  
Reg. No. 42,656

2055 Gateway Place, Suite 550  
San Jose, California 95110-1089  
Telephone: (408) 414-1080  
Facsimile: (408) 414-1076

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October 20, 2006  
(Date of Deposit)

Trudy Bagdon

(Typed or printed name of person mailing correspondence)

Trudy Bagdon  
(Signature of person mailing correspondence)

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449)</b>	ATTY. DOCKET NO. 50277-1768	SERIAL NO. 10/040,499
	APPLICANT: David J. Long et al.	
	FILING DATE: December 28, 2001	GROUP: 2192

U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM/YYYY	Classification
		Number	Kind Code <sup>2</sup> (If known)			
		6,970,975		Shahar Frank	11-29-2005	

FOREIGN PATENT DOCUMENTS								
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

OTHER ART - NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attorney Docket No. 50277-1768

*Handwritten:* 2192/18

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David J. Long, et al.

Serial No.: 10/040,499

Filed on: December 28, 2001

) Confirmation No.: 3702  
)  
) Examiner: Yigdall, Michael J.  
)  
) Group Art Unit No.: 2192  
)

For: TRANSACTION-AWARE CACHING FOR ACCESS CONTROL METADATA

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form, if needed. Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

☐ 37 C.F.R. §1.97(b). It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

☐ 37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

☐ A statement pursuant to 37 C.F.R. §1.97(c)

10/31/2005 BABRAHA1 00000066 10040499

180.00 OP

OID 2001-127-01

Repln. Ref: 04/05/2007 MGE BREM1 0010524800  
DAH: 501302 Name/Number: 10040499  
FC: 9204 \$180.00 CR

☐ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

☐ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

☒ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

☒ A statement pursuant to 37 C.F.R. §1.97(e).

☐ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

☒ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

☒ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

☐ 37 C.F.R. §1.97(i). Applicants are submitting references to satisfy Applicants' disclosure obligations in hopes that the references will be considered by the Examiner. Although the submission does not fully meet 37 C.F.R. §1.97, Applicant respectfully requests that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to Applicant(s). It is understood that if the Examiner does not consider the cited references, the cited documents will be placed in the file pursuant to 37 C.F.R. §1.97(i).

Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith. No certification or fees are deemed necessary.



The Examiner is hereby notified that the present application is related to the following related application(s):

**DISCLOSURE OF RELATED APPLICATIONS**

U.S. Application/ Pat. No.	File Date	Atty. Docket. No.
10/040,578	12/28/2001	50277-1766
10/040,500	12/28/2001	50277-1767
09/853,823	05/11/2001	50277-1561

The related application(s) may contain subject matter that is related to the subject matter of the present application. The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.



The Examiner is hereby notified that for the following related application(s) an Office Action has been received as indicated below:

**DISCLOSURE OF OFFICE ACTIONS**

U.S. Application/ Pat. No.	File Date	Office Action Mailing Date	Atty. Docket. No.
10/040,578	12/28/2001	08/12/2005	50277-1766
10/040,500	12/28/2001	08/25/2005	50277-1767
09/853,823	05/11/2001	08/31/2005	50277-1561

The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.




Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: October 26, 2005

  
John D. Henkhaus  
Reg. No. 42,656

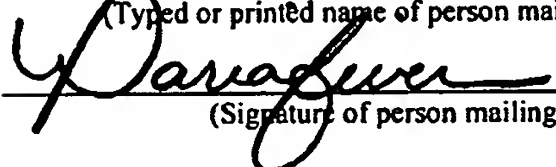
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October 26, 2005  
(Date of Deposit)

Maria Eivers

(Typed or printed name of person mailing correspondence)

  
(Signature of person mailing correspondence)